

AMENDMENT OF SOLICITATION/MODIFICATION OF CONTRACT				1. Contract ID Code Firm-Fixed-Price	Page 1 Of 9		
2. Amendment/Modification No. P00013		3. Effective Date 2007MAY03		4. Requisition/Purchase Req No. SEE SCHEDULE		5. Project No. (If applicable)	
6. Issued By U.S. ARMY TACOM LCMC AMSTA-AQ-ADEF MAJ STEVEN M. NATOLE (586)574-7415 WARREN, MICHIGAN 48397-5000 HTTP://CONTRACTING.TACOM.ARMY.MIL EMAIL: STEVEN.NATOLE@TACOM.ARMY.MIL		Code W56HZV		7. Administered By (If other than Item 6) DCMA CHICAGO 1523 WEST CENTRAL ROAD BLDG 203 ARLINGTON HEIGHTS IL 60004-2451 SCD B PAS NONE ADP PT HQ0339		Code S1403A	
8. Name And Address Of Contractor (No., Street, City, County, State and Zip Code) CATERPILLAR INC 100 NE ADAMS STREET PEORIA, IL 61629-0002 TYPE BUSINESS: Large Business Performing in U.S.				<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/>		9A. Amendment Of Solicitation No. 9B. Dated (See Item 11) 10A. Modification Of Contract/Order No. DAAE07-02-D-T012 10B. Dated (See Item 13) 2002MAR29	
Code 11083		Facility Code					
11. THIS ITEM ONLY APPLIES TO AMENDMENTS OF SOLICITATIONS							
<input type="checkbox"/> The above numbered solicitation is amended as set forth in item 14. The hour and date specified for receipt of Offers <input type="checkbox"/> is extended, <input type="checkbox"/> is not extended. Offers must acknowledge receipt of this amendment prior to the hour and date specified in the solicitation or as amended by one of the following methods: (a) By completing items 8 and 15, and returning _____ copies of the amendments: (b) By acknowledging receipt of this amendment on each copy of the offer submitted; or (c) By separate letter or telegram which includes a reference to the solicitation and amendment numbers. FAILURE OF YOUR ACKNOWLEDGMENT TO BE RECEIVED AT THE PLACE DESIGNATED FOR THE RECEIPT OF OFFERS PRIOR TO THE HOUR AND DATE SPECIFIED MAY RESULT IN REJECTION OF YOUR OFFER. If by virtue of this amendment you desire to change an offer already submitted, such change may be made by telegram or letter, provided each telegram or letter makes reference to the solicitation and this amendment, and is received prior to the opening hour and date specified.							
12. Accounting And Appropriation Data (If required) NO CHANGE TO OBLIGATION DATA							
13. THIS ITEM ONLY APPLIES TO MODIFICATIONS OF CONTRACTS/ORDERS It Modifies The Contract/Order No. As Described In Item 14.							
KIND MOD CODE: G							
<input type="checkbox"/> A. This Change Order is Issued Pursuant To: The Contract/Order No. In Item 10A. The Changes Set Forth In Item 14 Are Made In							
<input type="checkbox"/> B. The Above Numbered Contract/Order Is Modified To Reflect The Administrative Changes (such as changes in paying office, appropriation data, etc.) Set Forth In Item 14, Pursuant To The Authority of FAR 43.103(b).							
<input checked="" type="checkbox"/> C. This Supplemental Agreement Is Entered Into Pursuant To Authority Of: Mutual Agreement of Both Parties							
<input type="checkbox"/> D. Other (Specify type of modification and authority)							
E. IMPORTANT: Contractor <input type="checkbox"/> is not, <input checked="" type="checkbox"/> is required to sign this document and return _____ copies to the Issuing Office.							
14. Description Of Amendment/Modification (Organized by UCF section headings, including solicitation/contract subject matter where feasible.) SEE SECOND PAGE FOR DESCRIPTION							
Contract Expiration Date: 2008MAR28							
Except as provided herein, all terms and conditions of the document referenced in item 9A or 10A, as heretofore changed, remains unchanged and in full force and effect.							
15A. Name And Title Of Signer (Type or print)				16A. Name And Title Of Contracting Officer (Type or print) HEIDI L. HENDERSON HEIDI.HENDERSON@US.ARMY.MIL (586)574-8109			
15B. Contractor/Offeror  (Signature of person authorized to sign)		15C. Date Signed		16B. United States Of America By _____ /SIGNED/ (Signature of Contracting Officer)		16C. Date Signed 2007MAY03	
NSN 7540-01-152-8070 PREVIOUS EDITIONS UNUSABLE				30-105-02		STANDARD FORM 30 (REV. 10-83) Prescribed by GSA FAR (48 CFR) 53.243	

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SECTION A - SUPPLEMENTAL INFORMATION

Contract: DAAE07-02-D-T012  
Modification: P00013  
For: ASWDS Production Contract  
Date of Modification: 13 Apr 07  
Amount of Contract: N/A  
Amount of Modification: -0-  
New Contract Amount: N/A

1. This contract is for the production of the Airborne Scraper and Water Distributor System (ASWDS).
2. The purpose of this modification P00013 to Contract DAAE07-02-D-T012 is to:

a. Exercise Option Year 1 in accordance with FAR Clause 52.217-7 in Section H of this contract. Option Year 1 extends the current contract by one (1) year, the new contract expiration date is 28 March 2008. All prices used during this option year will be those prices established for Ordering Year 6. CLINs used during this period will have the number "6" as the fourth digit (example: 0026AA - WATER DISTRIBUTOR - OY 6). Prices for this ordering year were established with Modification P00012, Section B, and will remain in effect throughout the ordering year for any items ordered before 28 March 2008. Prices are effective at the time the order is placed with the contractor.

b. Identify vehicle parts to be marked with Unique Item Identification in accordance with DFAR Clause 252.211-7003 in Section D of this contract. Contractor shall use UID Construct #1, Alternate Layout (Limited Space) - Data Matrix and Human Readable IAW MIL-STD-130M, pg 36. For Vehicle End Item UID, the contractor shall use the National Stock Number (NSN) in lieu of the part number (PNR). Specific parts and assemblies to be marked are as follows:

Vehicle Type	Item Description	NSN or Part Number
Scraper (WTS) Only	Vehicle End Item	3805-01-497-0697 (UID placed in vicinity of plate - 9905-01-530-4638)
Water Distributor (WD) Only	Vehicle End Item	3825-01-497-0690 (UID placed in vicinity of plate - 9905-01-530-2383)
Both WTS and WD	Engine	2815-01-517-0223
Both WTS and WD	Torque Converter	2520-01-514-3541
Both WTS and WD	Housing, Axle	2520-01-530-7335
Both WTS and WD	Transmission	2520-01-530-9352
Scraper (WTS) Only	Ejector Reducer	Caterpillar Part Number 251-1865
	Gearbox w/ Motor	
Water Distributor (WD) Only	Water Pump	4320-01-519-1828

c. As a result of adding UID markers to each scraper and water distributor in Ordering Years 5, 6, and 7. The cost to add UID markers to the vehicles is \$20.00 per UID marker. There are six UID markers per vehicle. The unit price for each vehicle type in Ordering Years 5, 6, and 7 are hereby increased by \$120.00 each as follows:

CLIN	Item Description	New Unit Price
0025AA	WATER DISTRIBUTOR - OY 5	\$355,153.00
0045AA	SCRAPER (WTS) - OY 5	\$374,834.00
0026AA	WATER DISTRIBUTOR - OY 6	\$370,310.00
0046AA	SCRAPER (WTS) - OY 6	\$386,858.00
0027AA	WATER DISTRIBUTOR - OY 7	\$389,211.00
0047AA	SCRAPER (WTS) - OY 7	\$406,599.00

- d. Delete Narrative H 0003. Narrative is a duplicate of Narrative H 0001.
  - e. Update ordering date in Paragraph I-12(a) 52.216-18 ORDERING to reflect the extension of the contract.
3. There is no change to the value of Contract DAAE07-02-D-T012.
  4. All other terms and conditions remain unchanged and are in full force and effect.

\*\*\* END OF NARRATIVE A 0015 \*\*\*

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ITEM NO	SUPPLIES/SERVICES	QUANTITY	UNIT	UNIT PRICE	AMOUNT
	SECTION B - SUPPLIES OR SERVICES AND PRICES/COSTS				
0025AA	<u>WATER DISTRIBUTOR - OY 5</u>  NOUN: WATER DISTRIBUTOR SECTIONALIZ  <u>Packaging and Marking</u> PACKAGING/PACKING/SPECIFICATIONS: STANDARD COMMERCIAL PRACTICE LEVEL PRESERVATION: Commercial LEVEL PACKING: Commercial  <u>Inspection and Acceptance</u> INSPECTION: Origin      ACCEPTANCE: Origin		EA	\$ 355,153.00000	
0026AA	<u>WATER DISTRIBUTOR - OY 6</u>  NOUN: WATER DISTRIBUTOR SECTIONALIZ  <u>Packaging and Marking</u> PACKAGING/PACKING/SPECIFICATIONS: STANDARD COMMERCIAL PRACTICE LEVEL PRESERVATION: Commercial LEVEL PACKING: Commercial  <u>Inspection and Acceptance</u> INSPECTION: Origin      ACCEPTANCE: Origin		EA	\$ 370,310.00000	
0027AA	<u>WATER DISTRIBUTOR - OY 7</u>  NOUN: WATER DISTRIBUTOR SECTIONALIZ  <u>Packaging and Marking</u> PACKAGING/PACKING/SPECIFICATIONS: STANDARD COMMERCIAL PRACTICE LEVEL PRESERVATION: Commercial LEVEL PACKING: Commercial  <u>Inspection and Acceptance</u> INSPECTION: Origin      ACCEPTANCE: Origin		EA	\$ 389,211.00000	

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ITEM NO	SUPPLIES/SERVICES	QUANTITY	UNIT	UNIT PRICE	AMOUNT
0045AA	<p>SCRAPER (WTS) - OY 5</p> <p>NOUN: SCRAPER SECTIONALIZED</p> <p><u>Packaging and Marking</u> PACKAGING/PACKING/SPECIFICATIONS: STANDARD COMMERCIAL PRACTICE LEVEL PRESERVATION: Commercial LEVEL PACKING: Commercial</p> <p><u>Inspection and Acceptance</u> INSPECTION: Origin ACCEPTANCE: Origin</p>		EA	\$ 374,834.00000	
0046AA	<p>SCRAPER (WTS) - OY 6</p> <p>NOUN: SCRAPER SECTIONALIZED</p> <p><u>Packaging and Marking</u> PACKAGING/PACKING/SPECIFICATIONS: STANDARD COMMERCIAL PRACTICE LEVEL PRESERVATION: Commercial LEVEL PACKING: Commercial</p> <p><u>Inspection and Acceptance</u> INSPECTION: Origin ACCEPTANCE: Origin</p>		EA	\$ 386,858.00000	
0047AA	<p>SCRAPER (WTS) - OY 7</p> <p>NOUN: SCRAPER SECTIONALIZED</p> <p><u>Packaging and Marking</u> PACKAGING/PACKING/SPECIFICATIONS: STANDARD COMMERCIAL PRACTICE LEVEL PRESERVATION: Commercial LEVEL PACKING: Commercial</p> <p><u>Inspection and Acceptance</u> INSPECTION: Origin ACCEPTANCE: Origin</p>		EA	\$ 406,599.00000	

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SECTION D - PACKAGING AND MARKING

<u>Status</u>	<u>Regulatory Cite</u>	<u>Title</u>	<u>Date</u>
D-1 CHANGED	252.211-7003	ITEM IDENTIFICATION AND VALUATION	JUN/2005

[Note: The following clause requires unique item identification marking, or a DoD recognized unique identification equivalent, for items listed in paragraphs (c)(1)(ii) of the clause. Unique item identification marking is also required for all items delivered under the contract for which the government's acquisition cost (as defined under 'Definitions' below) is \$5,000 or more. Unique item identification marking is required for embedded subassemblies, components, and parts if listed in paragraph (c)(1)(iii). In the event that the government has not yet identified these items or embedded parts, paragraph (c)(1)(ii) will read "TBD" for "to be determined". If these items are identified by the government before the time proposals are due, an amendment to the solicitation will be issued which identifies them. If not, award will be made on the basis of them not being identified, however the contract may be later modified to include such identification marking. This clause also requires the contractor to report the government's acquisition cost for each item delivered under the contract. Information concerning these requirements is available at <http://www.acq.osd.mil/uid> ]

- (a) Definitions. As used in this clause--
- "Automatic identification device" means a device, such as a reader or interrogator, used to retrieve data encoded on machine-readable media.

Concatenated unique item identifier means

(1) For items that are serialized within the enterprise identifier, the linking together of the unique identifier data elements in order of the issuing agency code, enterprise identifier, and unique serial number within the enterprise identifier; or

(2) For items that are serialized within the original part, lot, or batch number, the linking together of the unique identifier data elements in order of the issuing agency code; enterprise identifier; original part, lot, or batch number; and serial number within the original part, lot, or batch number.

Data qualifier means a specified character (or string of characters) that immediately precedes a data field that defines the general category or intended use of the data that follows.

DoD recognized unique identification equivalent means a unique identification method that is in commercial use and has been recognized by DoD. All DoD recognized unique identification equivalents are listed at <http://www.acq.osd.mil/dpap/UID/equivalents.html> .

DoD unique item identification means a system of marking items delivered to DoD with unique item identifiers that have machine-readable data elements to distinguish an item from all other like and unlike items. For items that are serialized within the enterprise identifier, the unique item identifier shall include the data elements of the enterprise identifier and a unique serial number. For items that are serialized within the part, lot, or batch number within the enterprise identifier, the unique item identifier shall include the data elements of the enterprise identifier; the original part, lot, or batch number; and the serial number.

Enterprise means the entity (e.g., a manufacturer or vendor) responsible for assigning unique item identifiers to items.

Enterprise identifier means a code that is uniquely assigned to an enterprise by an issuing agency.

Governments unit acquisition cost means

(1) For fixed-price type line, subline, or exhibit line items, the unit price identified in the contract at the time of delivery;

(2) For cost-type or undefinitized line, subline, or exhibit line items, the Contractors estimated fully burdened unit cost to the Government at the time of delivery; and

(3) For items produced under a time-and-materials contract, the Contractors estimated fully burdened unit cost to the Government at the time of delivery.

Issuing agency means an organization responsible for assigning a non-repeatable identifier to an enterprise (i.e., Dun & Bradstreets Data Universal Numbering System (DUNS) Number, Uniform Code Council (UCC) /EAN International (EAN) Company Prefix, or Defense Logistics Information System (DLIS) Commercial and Government Entity (CAGE) Code.

Issuing agency code means a code that designates the registration (or controlling) authority for the enterprise identifier.

Item means a single hardware article or a single unit formed by a grouping of subassemblies, components, or constituent parts.

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Lot or batch number means an identifying number assigned by the enterprise to a designated group of items, usually referred to as either a lot or a batch, all of which were manufactured under identical conditions.

Machine-readable means an automatic identification technology media, such as bar codes, contact memory buttons, radio frequency identification, or optical memory cards.

Original part number means a combination of numbers or letters assigned by the enterprise at item creation to a class of items with the same form, fit, function, and interface.

Parent item means the item assembly, intermediate component, or subassembly that has an embedded item with a unique item identifier or DoD recognized unique identification equivalent.

Serial number within the enterprise identifier means a combination of numbers, letters, or symbols assigned by the enterprise to an item that provides for the differentiation of that item from any other like and unlike item and is never used again within the enterprise.

Serial number within the part, lot, or batch number means a combination of numbers or letters assigned by the enterprise to an item that provides for the differentiation of that item from any other like item within a part, lot, or batch number assignment.

Serialization within the enterprise identifier means each item produced is assigned a serial number that is unique among all the tangible items produced by the enterprise and is never used again. The enterprise is responsible for ensuring unique serialization within the enterprise identifier.

Serialization within the part, lot, or batch number means each item of a particular part, lot, or batch number is assigned a unique serial number within that part, lot, or batch number assignment. The enterprise is responsible for ensuring unique serialization within the part, lot, or batch number within the enterprise identifier.

Unique item identifier means a set of data elements marked on items that is globally unique and unambiguous.

Unique item identifier type means a designator to indicate which method of uniquely identifying a part has been used. The current list of accepted unique item identifier types is maintained at [http://www.acq.osd.mil/dpap/UID/uid\\_types.html](http://www.acq.osd.mil/dpap/UID/uid_types.html) .

- (b) The Contractor shall deliver all items under a contract line, subline, or exhibit line item.
- (c) DoD unique item identification or DoD recognized unique identification equivalents.
  - (1) The Contractor shall provide DoD unique item identification, or a DoD recognized unique identification equivalent, for
    - (i) All delivered items for which the Governments unit acquisition cost is \$5,000 or more; and
    - (ii) The following items for which the Governments unit acquisition cost is less than \$5,000:
 

Contract Line, Subline, or Exhibit Line Item Number: N/A

Item Description: Housing, Axle; NSN: 2520-01-530-7335; Part #: 127-4368
    - (iii) Subassemblies, components, and parts embedded within delivered items, specified in the Purchase Description ATPD-2310, dated 9 January 2007.
  - (2) The concatenated unique item identifier and the component data elements of the DoD unique item identification or DoD recognized unique identification equivalent shall not change over the life of the item.
  - (3) Data syntax and semantics of DoD unique item identification and DoD recognized unique identification equivalents. The Contractor shall ensure that
    - (i) The encoded data elements (except issuing agency code) of the unique item identifier are marked on the item using one of the following three types of data qualifiers, as determined by the Contractor:
      - (A) Data Identifiers (DIs) (Format 06) in accordance with ISO/IEC International Standard 15418, Information Technology EAN/UCC Application Identifiers and ANSI MH 10 Data Identifiers and ANSI MH 10 Data Identifiers and Maintenance.
      - (B) Application Identifiers (AIs) (Format 05), in accordance with ISO/IEC International Standard 15418, Information Technology EAN/UCC Application Identifiers and ANSI MH 10 Data Identifiers and ANSI MH 10 Data Identifiers and Maintenance.

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- (C) Text Element Identifiers (TEIs), in accordance with the DoD collaborative solution DD format for use until the solution is approved by ISO/IEC JTC1 SC 31. The DD format is described in Appendix D of the DoD Guide to Uniquely Identifying Items, available at <http://www.acq.osd.mil/dpap/UID/guides.htm> ; and
- (ii) The encoded data elements of the unique item identifier conform to ISO/IEC International Standard 15434, Information Technology Syntax for High Capacity Automatic Data Capture Media.
- (4) DoD unique item identification and DoD recognized unique identification equivalents.
- (i) The Contractor shall
- (A) Determine whether to serialize within the enterprise identifier or serialize within the part, lot, or batch number; and
- (B) Place the data elements of the unique item identifier (enterprise identifier; serial number; and for serialization within the part, lot, or batch number only; original part, lot, or batch number) on items requiring marking by paragraph (c)(1) of this clause, based on the criteria provided in the version of MIL-STD-130, Identification Marking of U.S. Military Property, cited in the contract Schedule.
- (ii) The issuing agency code
- (A) Shall not be placed on the item; and
- (B) Shall be derived from the data qualifier for the enterprise identifier.
- (d) For each item that requires unique item identification under paragraph (c)(1)(i) or (ii) of this clause, in addition to the information provided as part of the Material Inspection and Receiving Report specified elsewhere in this contract, the Contractor shall report at the time of delivery, either as part of, or associated with, the Material Inspection and Receiving Report, the following information:
- (1) Concatenated unique item identifier; or DoD recognized unique identification equivalent.
  - (2) Unique item identifier type.
  - (3) Issuing agency code (if concatenated unique item identifier is used).
  - (4) Enterprise identifier (if concatenated unique item identifier is used).
  - (5) Original part number.
  - (6) Lot or batch number.
  - (7) Current part number (if not the same as the original part number).
  - (8) Current part number effective date.
  - (9) Serial number.
  - (10) Governments unit acquisition cost.
- (e) For embedded DoD serially managed subassemblies, components, and parts that require unique item identification under paragraph (c)(1)(iii) of this clause, the Contractor shall report at the time of delivery, either as part of, or associated with the Material Inspection and Receiving Report specified elsewhere in this contract, the following information:
- (1) Concatenated unique item identifier or DoD recognized unique identification equivalent of the parent item delivered under a contract line, subline, or exhibit line item that contains the embedded subassembly, component, or part.
  - (2) Concatenated unique item identifier or DoD recognized unique identification equivalent of the embedded subassembly, component, or part.
  - (3) Unique item identifier type.\*\*
  - (4) Issuing agency code (if concatenated unique item identifier is used).\*\*
  - (5) Enterprise identifier (if concatenated unique item identifier is used).\*\*

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- (6) Original part number.\*\*
- (7) Lot or batch number.\*\*
- (8) Current part number (if not the same as the original part number.\*\*
- (9) Current part number effective date.\*\*
- (10) Serial number.\*\*
- (11) Unit of measure.
- (12) Description.

\*\* Once per item.

(f) The Contractor shall submit the information required by paragraphs (d) and (e) of this clause in accordance with the data submission procedures at <http://www.acq.osd.mil/dpap/UID/DataSubmission.htm>.

(g) Subcontracts. If paragraph (c)(1) of this clause applies, the Contractor shall include this clause, including this paragraph (g), in all subcontracts issued under this contract.

[End of Clause]



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SECTION I - CONTRACT CLAUSES

Status	Regulatory Cite	Title	Date
I-1 CHANGED	52.216-18	ORDERING	OCT/1995
(a) Any supplies and services to be furnished under this contract shall be ordered by issuance of delivery orders or task orders by the individuals or activities designated in the Schedule. Such orders may be issued from 2002 Mar 29 through 2009 Mar 28.			
(b) All delivery orders are subject to the terms and conditions of this contract. In the event of conflict between a delivery order and this contract, the contract shall control.			
(c) If mailed, a delivery order or task order is considered <u>issued</u> when the Government deposits the order in the mail. Orders may be issued orally, by facsimile, or by electronic commerce methods only if authorized in the Schedule.			
(End of clause)			